

Attorney Docket: 27593U

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U.S. Department Of Commerce, Patent And Trademark Office		Date: 16 August 2006 (16.08.2006)
Transmittal Letter To The United States Designated/Elected Office (DO/EO/US) Concerning A Filing Under 35 U.S.C. 371		U.S. Application No. (if known): 807589622
International Application No.: PCT/JP2005/000914	International Filing Date: 25 January 2005 (25.01.2005)	Priority Date Claimed: 20 February 2004 (20.02.2004)
Title of Invention: OPTICAL DEVICE AND OPTICAL PICKUP APPARATUS		
Applicants for DO/EO/US: OHYAMA, Minoru		
<p>Applicant hereby submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:</p> <ol style="list-style-type: none"> <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. <input checked="" type="checkbox"/> This is an express request to begin national examination procedures (35 USC 371(f)). The submission must include items (5), (6), (9) and (21) indicated below. <input checked="" type="checkbox"/> The US has been elected (Article 31). <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)): <ol style="list-style-type: none"> <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). <input type="checkbox"/> has been communicated by the International Bureau. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) <input checked="" type="checkbox"/> A English translation of the International Application as filed (35 U.S.C. 371(c)(2)). <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> <input type="checkbox"/> are attached hereto (required only if not transmitted by the International Bureau). <input type="checkbox"/> have been communicated by the International Bureau. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. <input checked="" type="checkbox"/> have not been made and will not be made. <input checked="" type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). <input checked="" type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). <p>ITEMS 11 to 20 BELOW CONCERN OTHER DOCUMENT(S) OR INFORMATION INCLUDED:</p> <ol style="list-style-type: none"> <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. The assignment is in favor of VICTOR COMPANY OF JAPAN, LIMITED, Yokohama-shi, Kanagawa-ken, JAPAN; <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment <input checked="" type="checkbox"/> A substitute specification. <input type="checkbox"/> A change of power of attorney and/or address letter. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter2 and 35 USC 1821 - 1825 <input type="checkbox"/> A second copy of the published international application under 35 USC 154(d)(4) <input type="checkbox"/> A second copy of the English language translation of the international application under 35 USC 154(d)(4) <input checked="" type="checkbox"/> Other items or information: TRANSMITTAL LETTER; INTERNATIONAL PUBLICATION NUMBER: WO 2005/081238 A1; INTERNATIONAL PUBLICATION DATE: 1 SEPTEMBER 2005 (01.09.2005), WHICH CONSISTS OF 69 PAGES: 2 PAGES OF THE COVER SHEET, 46 PAGES OF TEXTUAL SPECIFICATION, 7 PAGES OF 13 CLAIMS, 1 SHEET OF THE ABSTRACT, 13 SHEETS OF DRAWINGS; ENGLISH TRANSLATION OF AMENDMENT UNDER PCT ARTICLE 34; ENGLISH TRANSLATION OF AMENDMENT UNDER PCT ARTICLE 19 AND ENGLISH TRANSLATION OF BRIEF STATEMENT UNDER PCT ARTICLE 19; PRELIMINARY AMENDMENT WITH ATTACHMENT A, B & C TO BE EXAMINED; EXECUTED DECLARATION AND POWER OF ATTORNEY; EXECUTED ASSIGNMENT WITH RECORDATION COVER SHEET TO VICTOR COMPANY OF JAPAN, LIMITED, YOKOHAMA-SHI, KANAGAWA-KEN, JAPAN; INFORMATION DISCLOSURE STATEMENT; PTO FORM 1449 WITH 10 CITED REFERENCES; COPY OF 10 OF THE 10 CITED REFERENCES; PCT/IB/304 (NOTIFICATION CONCERNING SUBMISSIONS OR TRANSMITTAL OF PRIORITY DOCUMENT); PCT/IB/308 (SECOND AND SUPPLEMENTARY NOTICE); PCT/IB/332 (INFORMATION CONCERNING ELECTED OFFICES NOTIFIED OF THEIR ELECTION); PCT/ISA/210 (INTERNATIONAL SEARCH REPORT); PCT/IPEA/409 (INTERNATIONAL PRELIMINARY REPORT ON PATENTABILITY-CHAPTER II OF THE PCT); POSTCARD FOR EARLY NOTIFICATION OF THE SERIAL NUMBER REQUEST. 		

JAP6 Rec'd PCT/PTO 16 AUG 2006

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U.S. Application Number: (if known): Not Yet Assigned <div style="font-size: 1.5em; font-weight: bold;">10/589622</div>	International Application Number: PCT/JP2005/000914	Date: 16 August 2006(16.08.2006)
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The following fees are submitted: 21. Basic National Fee (37 CFR 1.492(a))..... \$ 300.00 22. Examination Fee (37 CFR 1.492 (c)) If the written opinion prepared by ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)\$ 0.00 All other situations \$ 200.00 23. Search Fee (37 CFR 1.492(b)) If the written opinion of the ISA/US or the International Preliminary Examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4) \$ 0.00 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority \$ 100.00 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB\$ 400.00 All other situations \$ 500.00 — Additional fee for specification and drawings filed in paper over 100 sheets (excluding Sequence listing or computer program listing filed in an electronic medium). The fee is \$ 250.00 for each additional 50 sheets of paper or fraction thereof. <div style="text-align: center;">ENTER APPROPRIATE BASIC FEE AMOUNT =</div>	CALCULATIONS \$ 300.00 \$ 200.00 \$ 400.00 \$ 900.00	PTO USE ONLY
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Surcharge of \$130.00 for furnishing the oath or declaration later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(e)).	\$ 0.00	
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CLAIMS	NUMBER: FILED	NUMBER: EXTRA	RATE		
TOTAL	12-20=	0	X \$ 50.00	\$ 0.00	
INDEPENDENT	1-3=	0	X \$ 200.00	\$ 0.00	
Multiple dependent claims(s) (if applicable)			+ \$360.00	\$ 0.00	
TOTAL OF ABOVE CALCULATIONS =				\$ 900.00	
Reduction by 2 for asserting small entity, if applicable. (Note 37 CFR 1.9, 1.27, 1.28).				\$ 0.00	
SUBTOTAL =				\$ 900.00	
Processing fee of \$130.00 for furnishing the English translation later than 20 30 months from the earliest claimed priority date (37 CFR 1.492(f)). +				\$ 0.00	
TOTAL NATIONAL FEE =				\$ 900.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
TOTAL FEES ENCLOSED =				\$ 940.00	

**The PTO did not receive the following
listed item(s)**

No Assignment Cover sheet SP

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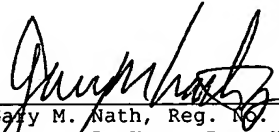
U.S. Application Number: (if known): Not Yet Assigned 10/589622	International Application Number: PCT/JP2005/000914	Date: 16 August 2006 (16.08.2006)
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- a. ☒ One check in the amount of \$ 940.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account Number: 14-0112 in the amount of \$ _____ to cover the above fees. (A duplicate copy of this sheet is enclosed.)
- c. ☒ The Commissioner is hereby authorized to charge any additional fees, which may be required, or credit any overpayment to Deposit Account Number: 14-0112.
- d. ☐ Fees are to be charged to a credit card ____ WARNING: Information on this form may become public ____ Credit Card Information should not be included on this form.
____ Provide credit card information and authorization on PTO-2038

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed to request that the application be restored to pending status.

Send All Correspondence To:

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Gary M. Nath, Reg. No. 26,965
Gregory B. Kang, Reg. No. 45,273
Gerald L. Meyer, Reg. No. 41,194
Customer No. 20529

In re Application of:

OHYAMA

Serial No.: Not Yet Assigned

Filed: August 16, 2006

Internatl. Appl. No.: PCT/JP2005/000914

Internatl. Filing Date: 25 January 2005 (25.01.2005)

Title: OPTICAL DEVICE AND OPTICAL PICKUP DEVICE

TRANSMITTAL LETTER

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Submitted herewith for filing in the U.S. Patent and Trademark Office is the following:

- 1) Transmittal Letter;
- 2) Transmittal Letter to U.S. Designated/Elected Office (DO/EO/US) Concerning Filing under 35 U.S.C. 371;
- 3) International Publication Number: WO 2005/081238 A1; International Publication Date: 1 September 2005 (01.09.2005), which consists of 69 pages:
 - 2 pages of the cover sheet,
 - 46 pages of Textual Specification,
 - 7 pages of 13 Claims,
 - 1 sheet of the Abstract,
 - 13 sheets of Drawings;
- 4) English Translation of Amendment under PCT Article 34;
- 5) English Translation of Amendment under PCT Article 19 and English Translation of Brief Statement Under PCT Article 19;
- 6) Preliminary Amendment with Attachment A, B & C to be examined;
- 7) Executed Declaration and Power of Attorney;
- 8) Executed Assignment with Recordation Cover Sheet to VICTOR COMPANY OF JAPAN, LIMITED, Yokohama-shi, Kanagawa-ken, JAPAN;
- 9) Information Disclosure Statement;
- 10) PTO Form 1449 with 10 cited references;
- 11) Copy of 10 of the 10 cited references;
- 12) PCT/IB/304 (Notification Concerning Submissions or Transmittal of Priority Document);
- 13) PCT/IB/308 (Second and Supplementary Notice);
- 14) PCT/IB/332 (Information Concerning Elected Offices Notified of their Election);
- 15) PCT/ISA/210 (International Search Report);
- 16) PCT/IPEA/409 (International Preliminary Report on Patentability-Chapter II of the PCT);
- 17) Check No.: 2657 in the Amount of \$ 940.00 for the Basic Filing Fee, which includes the Search and Examination Fees (\$900), as a Large Entity, and Fee for Recordation of the Assignment (\$40);
- 18) Postcard for Early Notification of the Serial Number Request.

Respectfully submitted,
NATH & ASSOCIATES PLLC

NATH & ASSOCIATES PLLC
112 South West Street,
Alexandria, VA 22314
GMN/GBK/JLM/SW (NATLPHASE.APPLICATION)

By: 

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Gregory B. Kang, Reg. No. 45,273
Jerald L. Meyer, Reg. No. 41,194
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